

Solutions for Asset Managers

Today's long-only asset managers are at a critical juncture: regulatory scrutiny is intensifying, margins are narrowing, and competition is growing as different industry segments converge. These pressures are leading many top executives to rethink their operating models — and the technology and services that support them. Established asset managers seek to increase efficiency by streamlining multiple vendor relationships, while others require technology support for new product lines. Emerging managers require a complete technology and infrastructure solution.

Broadridge's integrated, front- to back-office solution offers a cost-effective option. It handles all functions through a comprehensive platform with a central data warehouse, including order management, trading, compliance, portfolio accounting, performance measurement, risk management, analytics and reporting. Broadridge has proven success providing multi-asset class, 24/7 service and support to over 250 clients around the world.

INSTITUTIONAL PLATFORM WITH FULL FUNCTIONALITY

- Full range of exchange-traded and OTC securities and derivatives, with real-time position and P&L viewer
- FIX connectivity to leading brokers, execution platforms, and algorithmic trading systems with seamless integration to market data feeds

- Automated trade and portfolio reconciliation
- Integration with multiple service providers, including custodians, prime brokers, and fund administrators

- Extensive library of customizable templates for operational, performance, risk and financial reporting
- Manage, monitor and report on market and credit risk exposures for an entire range of portfolios
- Data warehouse is adaptable to meet both internal and client reporting requirements

- Integrated pre- and post-trade compliance tools
- Real-time alerts, customizable rules and audit reporting



- Reference data acquisition across all asset classes; terms and conditions, pricing, and corporate actions
- Complete data warehouse solution including data validation and cleansing
- Aggregation of data from disparate sources for data mining and reporting

- Record keeping, historical reporting, cash management tracking, and NAV generation
- Automated processing of portfolio events and corporate actions

Broadridge is a fully hosted, easily deployed ASP solution for asset managers combining mission-critical trading and portfolio accounting applications with support for compliance, risk management, and investment operations, all delivered on a comprehensive technology platform. Broadridge automates each step of a trade's life cycle as it moves through the front-middle-and back-office, giving portfolio managers, traders, operations staff, and executives transparency and control through customized "dashboards" and other functions tailored for their differing needs.

Broadridge provides 24/7 technical support and maintenance through a private cloud running on servers at SSAE 16 certified global data centers, and backed up by a mirrored "hot site" disaster recovery and business continuity infrastructure. Broadridge solutions can be deployed as a managed service, ASP, technology or staff replacement in virtually any combination.

ABOUT BROADRIDGE

Broadridge provides next generation investment management, reference data and risk solutions to address the real-time, front-to-back-office needs of hedge funds, asset managers, fund administrators, and prime brokers. Our multi-asset class solutions help simplify the management of complex instruments and strategies, improve operational efficiencies, and help lower the costs of managing multi-prime hedge funds.

WHY BROADRIDGE?

- Exclusive focus on financial services
- A trusted, neutral partner — Broadridge does not execute, custody, finance, or serve as an administrator
- We serve 21 of the top 25 record keeping firms
- We provide engaging and educational communications to over 55 million participants across the US, helping them achieve better retirement outcomes
- We safeguard \$373 billion assets under administration, which includes over 30 million accounts custodied on our mutual fund trading platforms
- 6,300+ associates located in 20+ major offices globally

**Bottom
Line
Benefits**

Integrated
Comprehensive platform;
only one vendor to call
for all services

Scalable
Wide-ranging solution;
suitable for start-ups to
large asset management
complexes

Easy
"Turn-key"
implementation; business
disruption minimized

Reliable
Robust platform;
thoroughly tested and
backed up in multiple
locations

Efficient
Fully hosted or managed
service; operational
performance maximized
with no need for
investment in hardware
or upgrades

Flexible
Integrated solution;
connections with leading
market providers and
third-party technology
vendors

Neutral
Conflict free provider;
unaffiliated with any
administrator or
custodian and does not
profit from client order
flow in any way

Established
True business partner;
backed by Broadridge,
an NYSE-listed financial
technology company
trusted by 8 of the 10
largest global
investment banks

Broadridge, a global fintech leader with over \$9 billion* in market capitalization, provides communications, technology, data and analytics solutions. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth. *As of November 2017

broadridge.com

Ready for Next

**Communications
Technology
Data and Analytics**

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